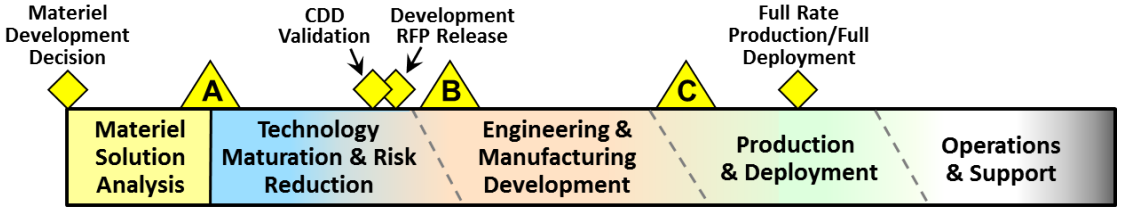
Defense Acquisition University

Information Required for Milestone and Decision Reviews

DoD Instruction 5000.02
Operation of the Defense Acquisition System, January 7, 2015, and
Changes Directed by National Defense Authorization Act for FY2016



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Defense Acquisition University
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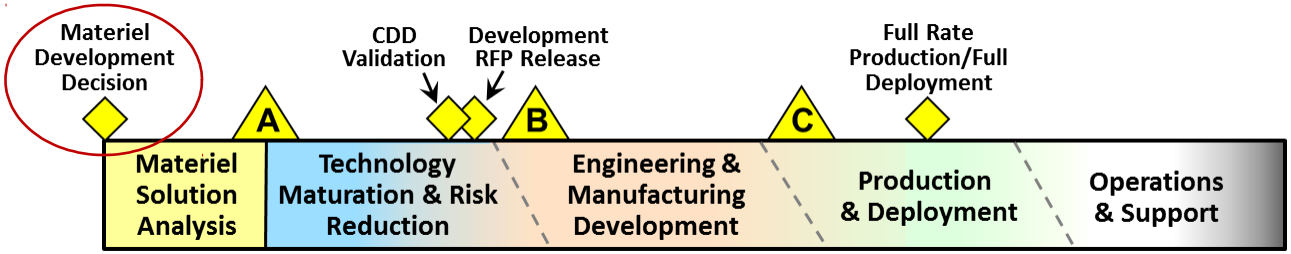
15 April 2016

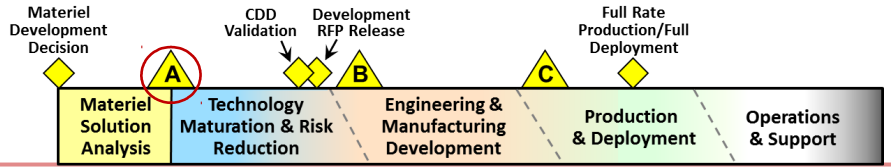
Materiel Development Decision (MDD) Information Requirements



- Affordability Analysis
- Analysis of Alternatives (AoA) Study Guidance and Study Plan
- Initial Capabilities Document (ICD)
- Initial Threat Environment Assessment
- Market Research Results
- Problem Statement (Defense Business Systems (DBS) only)

Milestone A Information Requirements

All programs except where noted (see Table 2, DoDI 5000.02)



- ***2266a Certification (MDAP only)[1]***
- **Acquisition Decision Memorandum (ADM)**
- ***Acquisition Strategy (see text of DoDI 5000.02 for additional requirements)***
  - ***Benefit Analysis & Determination***
  - ***Consideration of Technology Issues (MDAP & MAIS only)***
  - ***Cooperative Opportunities***
  - ***Industrial Base Capabilities Considerations***
  - ***Intellectual Property Strategy***
  - ***Market Research***
  - ***Small Business Innovation Research/Small Business Technology Transfer Program Technologies***
  - ***Termination Liability Estimate (MDAP only)***
- **Affordability Analysis**
- ***Analysis of Alternatives (AoA) Report***
- **Capability Development Document (CDD)**
- ***Clinger-Cohen Act (CCA) Compliance***
- **Concept of Operations/Operational Mode Summary/ Mission Profile (CONOPS/OMS/MP)**
- ***Core Logistics Determination***
- ***Cybersecurity Strategy***

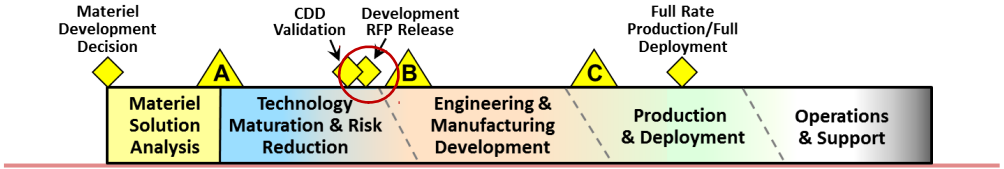
- **DoD Component Cost Position (CCP) (MDAP & MAIS only)**
- ***Economic Analysis (MAIS only) may combine w/AoA***
- **Exit Criteria**
- ***Frequency Allocation Application***
- **Full Funding Certification Memorandum (MDAP & MAIS only)**
- ***Independent Cost Estimate (MDAP & MAIS only)***
- **Item Unique Identification Implementation Plan**
- **Life-Cycle Mission Data Plan**
- **Life-Cycle Sustainment Plan**
- ***Program Certification to the Defense Business Systems (DBS) Management Committee (DBS only)***
- **Program Protection Plan (PPP)**
- ***Replaced System Sustainment Plan (MDAP only)***
- **Request for Proposal (RFP)**
- **System Threat Assessment Report (STAR)**

Statutory Requirements in blue italics

[1] Content of 2366a requirement revised by NDAA 2016 – see backup charts

- **MAIS: Major Automated Information System**
- **MDAP: Major Defense**

Development RFP Release Information Requirements



- Acquisition Decision Memorandum (ADM)
- *Acquisition Program Baseline (APB)*
- *Acquisition Strategy (see text of DoDI 5000.02 for additional requirements)*
  - *Benefit Analysis & Determination*
  - *Consideration of Technology Issues (MDAP & MAIS only)*
  - *Contract Type Determination (MDAP only)*
  - *Industrial Base Capabilities Considerations*
  - *Intellectual Property Strategy*
  - *Market Research*
  - *Small Business Innovation Research/Small Business Technology Transfer Program Technologies*
  - *Termination Liability Estimate (MDAP only)*
- Affordability Analysis ¶
- *Analysis of Alternatives (AoA) Report* ¶
- *Bandwidth Requirements Review*
- Capability Development Document (CDD)
- Concept of Operations/Operational Mode Summary/ Mission Profile (CONOPS/OMS/MP) ¶
- *Core Logistics Determination/Core Logistics*
- Cost Analysis Requirements Description (CARD) (MDAP & MAIS) ¶
- *Cybersecurity Strategy* ¶
- Development RFP Release Cost Assessment
- *Economic Analysis (MAIS only) may combine w/AoA*
- Exit Criteria
- Information Support Plan
- Item Unique Identification Implementation Plan ¶
- Life-Cycle Mission Data Plan ¶
- Life-Cycle Sustainment Plan ¶
- *Low Rate Initial Production (LRIP) Quantity*
- ~~*Manpower Estimate Report (MER) (MDAP only)*~~[1]
- Problem Statement (DBS only)
- Program Protection Plan (PPP) ¶
- Request for Proposal (RFP)
- Should Cost Target
- System Threat Assessment Report (STAR)
- Systems Engineering Plan (SEP) ¶
- *Technology Readiness Assessment (MDAP*

[1]Stand-alone MER eliminated by NDAA 2016; however, data must be included in cost estimates at MS A, B, C and FRP/FD

Statutory Requirements in blue italics

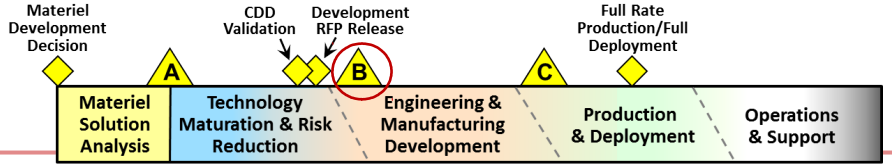
¶Updated Information

MAIS: Major Automated Information System

MDAP: Major Defense

Milestone B Information Requirements

All programs except where noted (see Table 2, DoDI 5000.02)



- ***2366b Certification Memorandum (MDAP only)***[1]
- **Acquisition Decision Memorandum (ADM)**
- ***Acquisition Program Baseline***
- **Affordability Analysis**
- ***Bandwidth Requirements Review***
- **Capability Development Document (CDD)**
- ***Clinger-Cohen Act (CCA) Compliance***
- **Contract Type Determination (MDAP only)**
- ***Core Logistics Determination/Core Logistics Sustaining Workloads Estimate (MDAP only)***
- **Cost Analysis Requirements Description (CARD) (MDAP & MAIS only)**
- ***Cybersecurity Strategy***
- **DoD Component Cost Estimate (CCE) (MDAP & MAIS only)**
- **DoD Component Cost Position (CCP) (MDAP & MAIS only)**
- ***Economic Analysis (MAIS only)***
- **Exit Criteria**
- ***Frequency Allocation Application***
- **Full Funding Certification Memorandum (MDAP & MAIS only)**
- ***Independent Cost Estimate (MDAP & MAIS only)***
- ***Independent Logistics Assessment (ILA) (MDAP only)***
- **Item Unique Identification Implementation Plan**
- **Life-Cycle Mission Data Plan**
- **Life-Cycle Sustainment Plan (LCSP)**
- ***LRIP Quantities (MDAP, ACAT II & III only)***
- ***~~Manpower Estimate Report (MER) (MDAP only)~~***[2]
- ***Program Certification to the Defense Business Systems (DBS) Management Committee (DBS only)***
- **Program Protection Plan (PPP)**
- ***Programmatic Environmental Safety & Occupational Health Evaluation (PESHE) and NEPA/E.O. 12114 Compliance***
- ***Replaced System Sustainment Plan (MDAP only)***
- **Should-Cost Target**
- **Spectrum Supportability Risk Assessment**
- **Systems Engineering Plan (SEP)**
- ***Technology Readiness Assessment (TRA) (MDAP only)***
- **Test & Evaluation Master Plan (TEMP)**
- **Waveform Assessment Application**

Updated and re-submitted only if changes have occurred since approved at the Development RFP Release Decision.

Statutory Requirements in blue italics

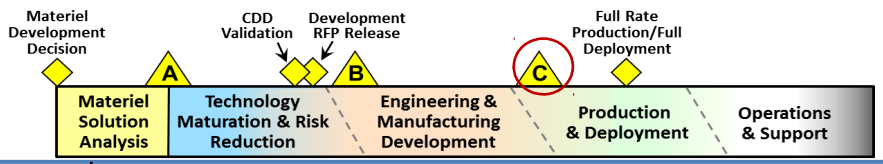
- MAIS: Major Automated Information System
- MDAP: Major Defense Acquisition Program

[1] Content of 2366b requirement revised by NDAA 2016 – see backup charts

[2] Stand-alone MER eliminated by NDAA 2016; however, data must be included in cost estimates at MS A, B, C and FRP/FD

Milestone C Information Requirements

All programs except where noted (see Table 2,



- **2366b Certification Memorandum (MDAP only) (only if Milestone C is program initiation)**
- **Acquisition Decision Memorandum (ADM)**
- ***Acquisition Program Baseline***
- ***Acquisition Strategy (see text of DoDI 5000.02 for additional requirements)***
  - ***Benefit Analysis & Determination (only if no MS B)***
  - ***Contract Type Determination (MDAP only)***
  - ***General Equipment Valuation***
  - ***Industrial Base Capabilities Considerations***
  - ***Intellectual Property Strategy***
  - ***Small Business Innovation Research/Small Business Technology Transfer Program Technologies***
  - ***Termination Liability Estimate (MDAP only)***
- **Affordability Analysis**
- ***Analysis of Alternatives (updated only if required)***
- ***Bandwidth Requirements Review***
- **Capability Production Document (CPD)**
- ***Clinger-Cohen Act (CCA) Compliance***
- **CONOPS/Operational Mode Summary/Mission Profile (CONOPS/OMS/MP)**
- ***Core Logistics Determination/Core Logistics Sustaining Workloads Estimate (MDAP only)***
- **Cost Analysis Requirements Description (CARD)**

- **DoD Component Cost Position (CCP) (MDAP & MAIS only)**
- **Exit Criteria**
- ***Frequency Allocation Application***
- **Full Funding Certification Memorandum (MDAP & MAIS only)**
- **Independent Logistics Assessment (ILA) (MDAP only)**
- **Independent Cost Estimate (MDAP & MAIS only)**
- **Information Support Plan (ISP)**
- **Item Unique Identification Implementation Plan**
- **Life-Cycle Mission Data Plan**
- **Life-Cycle Sustainment Plan (LCSP)**
  - ***Preservation and Storage of Unique Tooling Plan (MDAP only)***
- ~~***Manpower Estimate Report (MER) (MDAP only)***~~[2]
- **Problem Statement (Defense Business Systems only)**
- **Program Protection Plan (PPP)**
- ***Programmatic Environmental Safety & Occupational Health Evaluation and NEPA/E.O. 12114 Compliance***
- **Request for Proposal (RFP) Updated Information**
- **Should-Cost Target**
- **Spectrum Supportability Risk Assessment**
- **System Threat Assessment Report (STAR)**

Statutory Requirements in blue

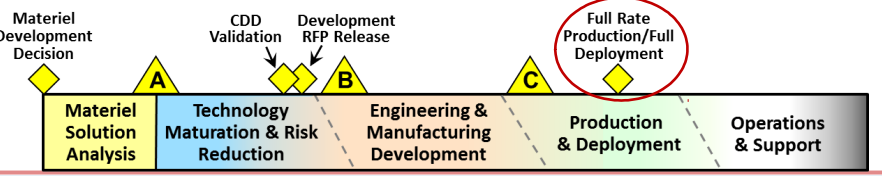
MAIS: Major Automated Information System

MDAP: Major Defense Acquisition Program

[1] Content of 2366b requirement revised by NDAA 2016 – Sustainability CARD eliminated by NDAA 2016; however, data must be included in cost estimates at MS A, B, C and FRP/FD

[2] Section 1061 of NDAA 2016 eliminated the requirement for the Manpower Estimate Report (MER) to support the Defense Acquisition

Full-Rate Production/Full Deployment Information Requirements



- Acquisition Decision Memorandum (ADM)
- Acquisition Program Baseline
- *Acquisition Strategy (see text of DoDI 5000.02 for additional requirements)*
  - *Benefit Analysis & Determination (only if no MS B)*
  - *Contract Type Determination (MDAP only)*
  - *General Equipment Valuation*
  - *Industrial Base Capabilities Considerations*
  - *Intellectual Property Strategy*
  - *Small Business Innovation Research/Small Business Technology Transfer Program Technologies*
  - *Termination Liability Estimate (MDAP only)*
- Affordability Analysis
- *Clinger-Cohen Act (CCA) Compliance*
- Cost Analysis Requirements Description (CARD) (MDAP & MAIS only)
- DoD Component Cost Estimate (CCE)
- *Cybersecurity Strategy*
- DoD Component Cost Position (CCP) (MDAP & MAIS only)
- *DOT&E Report on Initial Operational Test & Evaluation (IOT&E) (DOT&E Oversight programs only)*
- *Economic Analysis (MAIS only)*
- Full Funding Certification Memorandum (MDAP & MAIS only)
- *Independent Cost Estimate (MDAP & MAIS only)*
- *Independent Logistics Assessment (ILA) (MDAP only)*
- Information Technology (IT) and National Security System (NSS) Interoperability Certification
- Life-Cycle Mission Data Plan
- Life-Cycle Sustainment Plan (LCSP)
- *Live-Fire Test & Evaluation Report (DOT&E Oversight programs only)*
- ~~*Manpower Estimate Report (MER) (MDAP only)*~~[1]
- Operational Test Agency Report of OT&E Results
- Program Certification to the Defense Business Systems (DBS) Management Committee (Defense Business Systems only)
- Problem Statement (Defense Business Systems only)
- Program Protection Plan (PPP)
- *Programmatic Environmental Safety & Occupational Health Evaluation and NEPA/E.O. 12114 Compliance*
- Request for Proposal (RFP)
  - Updated Information
  - MAIS: Major Automated Information System
  - MDAP: Major Defense

Statutory Requirements in blue italics

[1] Stand-alone MER eliminated by NDAA 2016, however, data must be included in cost estimates at MS A, B, C and FRP/FD

10 USC 2366a Requirements at Milestone A

The MDA ~~certifies~~ **determines** in writing, after consulting the Joint Requirements Oversight Council (JROC) on matters related to program requirements and military needs that:

(1) the program fulfills an approved initial capabilities document;

(2) ~~the program is being executed by an entity with a relevant core competency function as identified by the Secretary of Defense;~~ **the program has been developed in light of appropriate market research**;

(3) if the program duplicates a capability already provided by an existing system, the duplication provided by such program is necessary and appropriate;

(4) with respect to any identified areas of risk, there is a plan to reduce the risk;

(5) ~~That a determination of applicability of core depot-level maintenance and repair capabilities requirements has been made;~~ **the planning for sustainment has been addressed and that a determination of applicability of core logistics capability requirements has been made**

(6) an analysis of alternatives has been performed consistent with the study guidance developed by the Director of Cost Assessment and Program Evaluation;

(7) a cost estimate for the program has been submitted, with the concurrence of the Director of Cost Assessment and Program Evaluation, and the level of resources required to develop, procure, and sustain the program is ~~consistent with the priority level assigned by the JROC~~ sufficient for successful program execution; and;

Changes made by NDAA 2016

(8) the program or subprogram meets any other considerations the milestone

tes page for some charts contain more information

10 USC 2366b Requirements at Milestone B

~~**Certification**~~ **CERTIFICATIONS AND DETERMINATION REQUIRED**.—A major defense acquisition program may not receive Milestone B approval until the milestone decision authority —

(1) has received a preliminary design review and conducted a formal post-preliminary design review assessment, and certifies on the basis of such assessment that the program demonstrates a high likelihood of accomplishing its intended mission;

(2) further certifies that the technology in the program has been demonstrated in a relevant environment, as determined by the milestone decision authority on the basis of an independent review and assessment by the Assistant Secretary of Defense for Research and Engineering, in consultation with the Deputy Assistant Secretary of Defense for Developmental Test and Evaluation;

(3) ~~Has received a business case analysis and certifies on the basis of that analysis that~~ **determines in writing that—**

(A) the program is affordable when considering the ability of the Department of Defense to accomplish the program's mission using alternative systems;

(B) appropriate trade-offs among cost, schedule, **technical feasibility**, and performance objectives have been made to ensure that the program is affordable when considering the per unit cost and the total acquisition cost in the context of the total resources available during the period covered by the future-years defense program submitted during the fiscal year in which the certification is made;

Changes made by NDAA 2016

10 USC 2366b Requirements at Milestone B cont..

(C) reasonable cost and schedule estimates have been developed to execute, with the concurrence of the Director of Cost Assessment and Program Evaluation, the product development and production plan under the program; **and**

(D) funding is available to execute the product development and production plan under the program, through the period covered by the future-years defense program submitted during the fiscal year in which the certification is made, consistent with the estimates described in subparagraph (C) for the program;

(E) appropriate market research has been conducted prior to technology development to reduce duplication of existing technology and products;

(F) the Department of Defense has completed an analysis of alternatives with respect to the program;

(G) the Joint Requirements Oversight Council has accomplished its duties with respect to the program pursuant to section 181(b) of this title, including an analysis of the operational requirements for the program;

(H) life-cycle sustainment planning, including corrosion prevention and mitigation planning, has identified and evaluated relevant sustainment costs throughout development, production, operation, sustainment, and disposal of the program, and any alternatives, and that such costs are reasonable and have been accurately estimated;

Changes made by NDAA 2016

10 USC 2366b Requirements at Milestone B cont..

(I) an estimate has been made of the requirements for core logistics capabilities and the associated sustaining workloads required to support such requirements;

(J) there is a plan to mitigate and account for any costs in connection with any anticipated de-certification of cryptographic systems and components during the production and procurement of the major defense acquisition program to be acquired;

(K) the program complies with all relevant policies, regulations, and directives of the Department of Defense; ~~and~~

(L) the Secretary of the military department concerned and the Chief of the armed force concerned concur in the trade-offs made in accordance with subparagraph (B); and

(4) in the case of a space system, performs a cost benefit analysis for any new or follow-on satellite system using a dedicated ground control system instead of a shared ground control system, except that no cost benefit analysis is required to be performed under this paragraph for any Milestone B approval of a space system after December 31, 2019

Changes made by NDAA 2016